

Section 1/1

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Attorney Docket No.	AUS920000710US1 (9000/4)
Application Number	09/740,530
Filing Date	DECEMBER 18, 2000
First Named Inventor	MICHAEL S. FLOYD
Group Art Unit	
Examiner	

## ENCLOSURES (check all that apply)

- ☐ Amendment / Response to Restriction/Election Req.
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Status Letter
- ☐ Extension of Time Request (duplic)
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement, PTO-1449, art
- ☐ Certified Copy of Priority Document(s)

- ☐ Assignment Papers (for an Application)
- ☒ Drawings: **4 Sheets**
- ☐ After Allowance Communication to Group
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ To Convert a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request of Refund

- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☒ Post Card Receipt
- ☒ Additional Enclosure(s) (please identify below):
- ☒ Notice of Incomplete Nonprovisional Application
- ☒ Response to Notice of Incomplete Nonprovisional Application with 4 sheets of drawings and Stamped Returned Postcard
- ☒ Petition for Granting of Original Filing Date and Request for Refund of the Petition Fee with Stamped Returned Postcard

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 50-1713. A duplicate copy of this sheet is enclosed.

## CALCULATION OF FEE

	Claims After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		0
Indep.		Minus		0

First Presentation of Multiple Dep. Claim

Small Entity	
Rate	Add'l Fee
x \$9=	0
x \$40=	0
+ \$135=	---
total add'l fee	
\$ 0	

Large Entity	
Rate	Add'l Fee
x \$18=	
x \$80=	
+ \$270=	
total add'l fee	
\$ 0	

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name  
FRANK C. NICHOLAS  
Registration No. 33,983  
Cardinal Law Group  
1603 Orrington Avenue, Suite 2000  
Evanston, IL 60201

Signature

*Frank C. Nicholas*

Date: May 7, 2001

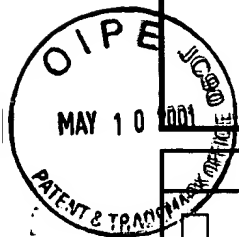
## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box SN, Commissioner for Patents, Washington, D.C. 20231 on this date: May 7, 2001

Signature

FRANK C. NICHOLAS

Date: May 7, 2001



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

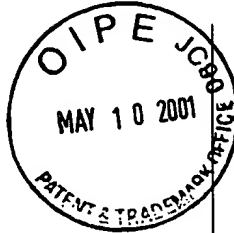
In re Application of:

MICHAEL S. FLOYD, PAUL J. JORDAN,  
LARRY S. LEITNER

Serial No. 09/740,530

Filed: DECEMBER 18, 2000

Title: METHOD AND SYSTEM FOR  
TRIGGERING A DEBUGGING UNIT



Examiner:

Group Art Unit:

**RESPONSE TO NOTICE OF INCOMPLETE NONPROVISIONAL APPLICATION  
FILED UNDER 37 C.F.R. 1.53(b)  
Filing Date Not Granted**

Box SN  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In accordance with the Notice of Incomplete Nonprovisional Application, dated March 5, 2001, a copy of which is attached, enclosed herewith for filing are copies of the four sheets of drawings originally submitted on the filing date.

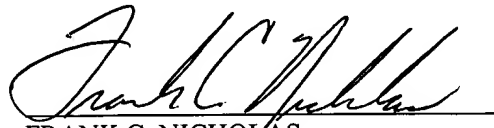
Applicants respectfully assert that the application was originally deposited with drawings. Attached is a copy of the stamped return post card returned by the USPTO indicating *prima facie* evidence thereof. The stamped return post card indicates that the four sheets of drawings were received with the original application. A newly executed declaration or oath covering the enclosed items is therefore not enclosed.

Applicants respectfully request that the copies of the original drawings submitted herein be incorporated into the file wrapper and that the original filing date be granted. A petition asserting that the items below were submitted on the filing date and requesting the original filing date be granted is enclosed.

Respectfully submitted,

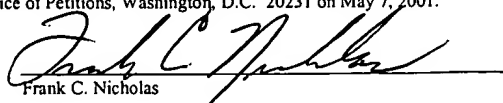
Dated: May 7, 2001

CARDINAL LAW GROUP  
Suite 2000  
1603 Orrington Avenue,  
Evanston, Illinois 60201  
(847) 905-7111

  
FRANK C. NICHOLAS  
Registration No. 33,983

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents, Office of Petitions, Washington, D.C. 20231 on May 7, 2001.

May 7, 2001  
Date

  
Frank C. Nicholas

#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

9000/4

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/740,530	12/18/2000	Michael S. Floyd	AUS920000710US1

Frank C. Nicholas  
CARDINAL LAW GROUP  
1603 Orrington Avenue, Suite 2000  
Evanston, IL 60201

CONFIRMATION NO. 8384

## FORMALITIES LETTER



\*OC000000005824729\*

Date Mailed: 03/05/2001

## NOTICE OF INCOMPLETE NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

A filing date has NOT been accorded to the above-identified application papers for the reason(s) indicated below.

All of the items noted below and a newly executed oath or declaration covering the items must be submitted within **TWO MONTHS** of the date of this Notice, unless otherwise indicated, or proceedings on the application will be terminated (37 CFR 1.53(e)).

The filing date will be the date of receipt of all items required below, unless otherwise indicated. Any assertions that the item(s) required below were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of Petitions accompanied by the \$130.00 petition fee (37 CFR 1.17(i)). If the petition states that the application is entitled to a filing date, a request for a refund of the petition fee may be included in the petition.

- The application was deposited without drawings. 35 U.S.C. 113 (first sentence) requires a drawing "where necessary for the understanding of the subject matter sought to be patented." *Applicant should reconsider whether the drawings are necessary under 35 U.S.C. 113 (first sentence).*

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*A copy of this notice **MUST** be returned with the reply.*



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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Docket No. AUS92000710051 Serial No. \_\_\_\_\_ Any CES Date Mailed 12-18-00

PLEASE ACKNOWLEDGE AND RETURN

<input checked="" type="checkbox"/> Certificate of Express Mail	<input checked="" type="checkbox"/> Transmittal Letter
<input checked="" type="checkbox"/> Express Mail No. <u>EP 40965244705</u>	<input type="checkbox"/> Certificate of Mailing
<input checked="" type="checkbox"/> Application w/ <u>2</u> Declaration	<input type="checkbox"/> Amendment
<input checked="" type="checkbox"/> Spec <u>13</u> pp; Claims <u>18</u> pp	<input type="checkbox"/> Amendment AF
<input checked="" type="checkbox"/> Recordation Cover Sheet	<input type="checkbox"/> Notice of Appeal
<input checked="" type="checkbox"/> Assignment	<input type="checkbox"/> Appeal Brief
<input checked="" type="checkbox"/> Drawings <u>4</u> sheets	<input type="checkbox"/> Reply Brief
<input type="checkbox"/> Missing Parts	<input type="checkbox"/> FWC/Continuation/Divisional
<input type="checkbox"/> IDS	<input type="checkbox"/> Issue Fee
<input type="checkbox"/> PTO 1449 references	
<input type="checkbox"/> Ext. of Time	
<input type="checkbox"/> Other	

Applicant: M. S. Flord et al

Title: Method & System for Triggering a Debugging Unit

Deposit Acct. No. 88-0031/09-0447

Fees: App. 1,684 Assign 40 Amendment \_\_\_\_\_ Other \_\_\_\_\_

PTO U.S. 490 JC

09/740530

12/16/00